



IN THE UNITED STATES  
PATENT AND TRADEMARK OFFICE

APPLICANT(S): Seth I. Merrin *et al.*

APPLICATION NO.: 09/834,171

CONFIRMATION NO.: 2698

FILING DATE: April 12, 2001

TITLE: ELECTRONIC SECURITIES MARKETPLACE HAVING  
INTEGRATION WITH ORDER MANAGEMENT SYSTEMS

EXAMINER: UNKNOWN

GROUP ART UNIT: 2161

ATTY. DKT. NO.: 22172-05507

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**CERTIFICATE OF MAILING**

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: BOX NON-FEE AMENDMENT, Commissioner For Patents, Washington, D.C. 20231, on the date shown below:

Dated: 13 August 2001

By: [Signature]  
Daniel R. Brownstone, Reg. No.: 46,581

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**INFORMATION DISCLOSURE STATEMENT**

**Under 37 CFR §§ 1.56 and 1.97-98**

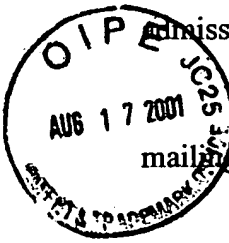
SIR:

Pursuant to the provisions of 37 CFR §§ 1.56 and 1.97-98, enclosed herewith is modified form PTO-1449 listing references for consideration by the Examiner. A copy is enclosed herewith of each listed reference which may be material to the examination of this application, and with respect to which there may be a duty to disclose.

The filing of this Information Disclosure Statement shall not be construed as a representation regarding the completeness of the list of references, or that inclusion of a reference in this list is an admission that it is prior art or is pertinent to this application, or that a search has been made, or as an admission that the information listed is, or may be considered to be, material

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to patentability, or that no other material information exists, and shall not be construed as an admission against interest in any manner.



The Information Disclosure Statement submitted herewith is being filed before the mailing date of a first official action on the merits.

Applicant submits that no fee is required for the consideration of the accompanying Information Disclosure Statement.

Consideration of the listed references and favorable action are solicited.

Respectfully submitted,  
SETH I. MERRIN, JOHN HALLORAN,  
DEMIAN KOSOFSKY, KEVIN LUPOWITZ

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